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IN THE UNITED STATES PATENT AND PATENT  
TRADEMARK OFFICE

TRANSMITTAL OF MISSING PARTS FOR  
PATENT APPLICATION PURSUANT TO  
37 C.F.R. §1.53(d)

Applicant(s):	Yuichi KAMIOKA, et al.	Docket No.:	28569.9200
Serial No.:	09/811,033	Filed:	March 16, 2001
TITLE:	SEMICONDUCTOR LASER DRIVING APPARATUS AND OPTICAL DISC APPARATUS INCLUDING THE SAME	Group Art Unit:	2651
		Confirmation No.:	5694

Assistant Commissioner for Patents  
Box **MISSING PARTS**  
Washington, D.C. 20231-9998

Sir:

In response to the Notice to File Missing Parts of Application mailed on May 1, 2001, in the above-identified application, enclosed herewith are the missing parts needed to complete filing of the subject patent application.

**1. Small Entity Status**

- ☐ Small entity status under 37 C.F.R. §§1.9 and 1.27 has been established by a verified statement previously submitted.
- ☐ Verified statements to establish small entity status under 37 C.F.R. §§1.9 and 1.27 is enclosed.

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## 2. Fee Calculation

Basic Fee (\$710) + surcharge (\$130)					=	\$ 840.00
Total Claims	25 minus	20 =	x	\$ 18.00	=	90.00
Independent Claims	2 minus	3 =	x	\$ 80.00	=	0.00
Multiple dependent claim fee, if applicable				\$270.00	+	0.00
Fee calculation, request for extension of time pursuant to 37 C.F.R. §1.136(a)						

<input checked="" type="checkbox"/> [ X ]	Missing parts filed within <b>first</b> month after due date – add	\$ 110.00	+	\$110.00
<input type="checkbox"/> [ ]	Missing parts filed within <b>second</b> month after due date – add	\$ 380.00	+	N/A
<input type="checkbox"/> [ ]	Missing parts filed within <b>third</b> month after due date – add	\$ 870.00	+	N/A
<input type="checkbox"/> [ ]	Missing parts filed within <b>fourth</b> month after due date – add	\$1360.00	+	N/A

**Subtotal:** 1,040.00

If one of the “small entity” boxes above is checked, enter half (1/2) of the Subtotal and subtract. - N/A

Add: Fee (\$40.00) for recording assignment and other fee(s): 40.00

**Less fees charged to Snell & Wilmer’s** 800.00  
**Deposit Account No. 19-2814**

**TOTAL FEES ENCLOSED:** 280.00

## 3. Enclosures (check as applicable)

<input checked="" type="checkbox"/> [ X ]	Notice of Missing Parts (copy)
<input checked="" type="checkbox"/> [ X ]	Executed Combined Declaration and Power of Attorney
<input type="checkbox"/> [ ]	Power of Attorney
<input type="checkbox"/> [ ]	Verified Statement(s) of Small Entity Status under 37 C.F.R. §§1.9(c), 1.9(d), and 1.27
<input checked="" type="checkbox"/> [ X ]	Check for <b>remaining fees (Snell &amp; Wilmer’s check Nos. 285878 (\$240.00) and 285879 (\$40.00)).</b>
<input checked="" type="checkbox"/> [ X ]	Assignment and required Recordation Form Cover Sheet
<input checked="" type="checkbox"/> [ X ]	Information Disclosure Statement pursuant to 37 C.F.R. §§1.97-1.99 (with PTO Form 1449 and copies of citations)
<input checked="" type="checkbox"/> [ X ]	Other: Priority document #2000-077279 dated 3/17/2000; and a revised Abstract

### **Extra copies of this letter:**

<input checked="" type="checkbox"/> [ X ]	for charge to deposit account ( <b>deficiency only</b> )
<input checked="" type="checkbox"/> [ X ]	for assignment

4. Manner of Payment

- [ ] Please charge Deposit Account No. 19-2814 in the amount of \$\_\_\_\_\_. A duplicate copy of this sheet is attached.
- [X] Checks in the amount of \$240.00 and \$40.00 are attached (Snell & Wilmer Check Nos. 285878 and 285879, respectively).


This statement does NOT authorize charge of the issue fee. The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any **deficiency** in the fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under 37 C.F.R. §§1.16-1.18 (**deficiency** only) now or hereafter relative to this Application and the resulting Official document under 37 C.F.R. §1.20, or credit any overpayment to Account No. 19-2814 **for which purpose a duplicate copy of this sheet is attached.**

5. Assignment

- [X] An Assignment of this application is enclosed. Please record the Assignment and return the recorded Assignment to the undersigned attorney.

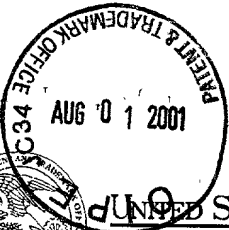
The Patent and Trademark Office is respectfully requested to send a corrected filing receipt for this application to the undersigned attorney and forward the application for examination.

Respectfully submitted,

By  #39,928  
Michael K. Kelly  
Reg. No. 32,848

8/1/2001

**SNELL & WILMER L.L.P.**  
One Arizona Center  
400 East Van Buren  
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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
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WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/811,033	03/16/2001	Yuichi Kamioka	28569.9200

CONFIRMATION NO. 5694

## FORMALITIES LETTER



\*OC000000006027164\*

Michael K. Kelly  
Shell & Wilmer, LLP  
One Arizona Center  
400 E. Van Buren Street  
Phoenix, AZ 85004-2202

Date Mailed: 05/01/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- An Abstract not to exceed 150 words in length, commencing on a separate sheet (37 CFR 1.72(b)).

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*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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